Equality Impact Assessment Toolkit

Equality impact assessment (EIA) screening form

Please refer to the guidance notes when completing this form.

This form has been developed to help you to identify the need for EIA when developing a new policy, strategy, programme, activity, project, procedure, function or decision (hereafter all understood by the term policy). You must also complete this form when reviewing or revising existing policies. It will also help to prioritise existing policies that may need to undergo a full EIA.

Unless they are 'screened out' following this initial prioritisation process, policies **will** be required to undergo full EIA in priority order. Refer to the **above** guidance notes on when an equality screening should happen, and some initial principles to bear in mind when getting started.

No new or revised policy should be approved unless an equality screening and, if required, a full EIA has taken place.

The following sections must be completed for all new policies:

Name of policy being screened: Financial support for Care Leavers in University

Brief description of the Policy: The policy will set out how the Local Authority will financially support its care leavers whilst they are in University.

Does this policy relate to any other policies? There is no formal or ratified policy in place in relation to this. The Local Authority has been providing financial support to care leavers attending university for many years on a case by case basis and has been developed through custom and practice within children's services.

What is the aim or purpose of the policy? The aim of the policy is to ensure that the Local Authority provides an appropriate level of advice on accessing financial support to care leavers whilst they attend university and that any financial support from the Local Authority is provided with fairness and equity.

Who is affected by this policy (e.g. staff, residents, disabled people, women only?) Category three Care Leavers who are attending University (Age 18 - 24)

Who is responsible for delivery of the policy? Children's Social Care, SS&WB Directorate

The following sections must be completed for all policies being reviewed or revised:

Is this a review of an existing policy? No – It will be a new policy

If this is a review or amendment of an existing policy, has anything changed since it was last reviewed? Has an EIA previously been carried out on this policy? N/A

If an EIA exists, what new data has been collected on equality groups since its completion? N/A

Screening questions

1. Is this policy an important or 'large scale' function, and/or is it likely the policy will impact upon a large number of staff, residents and/or contractors?

No (Guidance)

2. Is it possible that any aspect of the policy will impact on people from different groups in different ways? (See guidance for list of 'protected characteristics' to consider)

Characteristic	Yes	No	Unknown	Explanation of impact
Age		x		
Disability		x		
Gender reassignment		x		
Pregnancy and maternity		x		
Race		x		
Religion/belief		x		
Sex		x		
Sexual orientation		x		
Civil Partnerships and Marriage		x		

Yes	No	Unknown	(Guidance)
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Please expand on your answer:

3. What is the risk that any aspect of the policy could in fact lead to discrimination or adverse affects against any group of people? (See guidance for list of protected characteristics?)

The policy may lead to a reduction in the amount of financial support from the Local Authority provided to care leavers attending university which in turn could lead to this group of young people having to take out financial loans.

What action has been taken to mitigate this risk?

Guidance

The Local Authority will ensure that appropriate advice is provided to enable young people intending to attend university to access relevant grants and loans, information on repayment schemes will also be included.

4. Could any aspect of the policy help BCBC to meet the main public sector duties? Bear in mind that the duty covers 9 protected characteristics. Guidance

Duty	YES	NO	Unknown
Eliminate discrimination, harassment, victimisation and any other			
conduct that is prohibited by the Act		X	
Advance equality of opportunity between persons who a relevant protected characteristic and persons who do not share it		x	

Foster good relations between persons who share a relevant	,	
protected characteristic and persons who do not share it	^	

Please set out fully your reasoning for the answers given to question 4 including an awareness of how your decisions are justified.

- 6. Could any aspect of this "policy" assist Bridgend County Borough Council with its compliance with the Welsh Language Standards and the Welsh Language (Wales) Measure 2011 which are to consider:- No
- whether the policy would impact on people's opportunity to a) use the Welsh language in a positive or negative way and b) treat both languages equally;
- how the policy could be changed to have a positive effect or increase the positive effect on a) people's opportunity to use the Welsh language and b) treating both languages equally;
- how the policy could be changed to minimise or remove any adverse effects on a) people's opportunity to use the Welsh language and b) treating both languages equally.
- 6. Are you aware of any evidence that different groups have different needs, experiences, issues and/or priorities in relation to this policy?

No (Guidance)

Please explain fully the reasons for this judgement including an awareness of how your decisions are justified.

This will be a new policy that will need consultation and cabinet approval.

7. Is this policy likely to impact on Community Cohesion? No

Conclusions

8. What level of EIA priority would you give to this policy? (Guidance)

HIGH - full EIA within 6 months, or before approval of policy

7. Will the timescale for EIA be affected by any other influence e.g. Committee deadline, external deadline, part of a wider review process? Deadlines for cabinet consultation and approval need to be met

(Guidance)

8. Who will carry out the full EIA? Equality officer and Kate Giltrap -16+ Team manager

EIA screening completed by: Kate Giltrap

Date: 09.11.2017

When complete, this initial screening form and, if appropriate, the full EIA form must be sent to Paul Williams.

Full Equality Impact Assessment Guidance

This guidance should be used following the completion of an initial screening EIA form for which there is separate guidance.

1. What is a Full Equality Impact Assessment?

A Full Equality Impact Assessment is a systematic process of evidence gathering and analysis aimed at ensuring that public authorities are meeting their equality duty to better promote equality.

The Equality Act 2010 defines protected characteristics as Age, Disability, Gender reassignment, Marriage and civil partnership, Race, Religion or belief, Pregnancy and Maternity, Sex, Sexual orientation.

Additionally, in considering the impact on protected characteristic groups, we must consider the impact (positive or negative) of the "policy" on the Statutory Requirements of the Welsh Language Measure (2011) and the Welsh Language Standards imposed on the council as described within the full EIA template.

Full Equality Impact Assessments follow the same format and process as a Screening Impact Assessment but **require greater resources in terms of time and commitment to gather and analyse a wider range of evidence** than would normally be required for a Screening Impact Assessment. This extra commitment should be taken into account during the early planning stages of relevant policies.

Assessing the impact of proposed changes to policies and strategies is not just something the law requires, it is a positive opportunity to ensure decisions are based on robust evidence and that:

- decisions include a consideration of actions that would help to avoid or mitigate any unfair impact on individuals or groups who share protected characteristics;
- decisions are based on evidence;
- the decision-making process is transparent;
- there is a record of the equality considerations which have been taken into account.

For additional guidance on financial decision making see the following code of practice https://www.equalityhumanrights.com/en/advice-and-guidance/making-fair-financial-decisions

2. When do you undertake a Full Equality Impact Assessment?

Equality Impact Assessments are an integral part of the policy and strategy drafting process and must be done in the early stages of the policy and strategy planning. The assessment should inform the policy or strategy and must be considered carefully **before** a decision is made.

A Full Equality Impact Assessment must be undertaken if:

- a Screening Equality Impact Assessment has recommended that a Full Equality Impact Assessment be undertaken and /or:
- the policy or strategy is a major one in terms of scale or significance to BCBC's activities and there is a clear indication that it is likely to have an impact upon people who share a protected characteristic;
- although the policy or strategy is minor, it is likely to have a major impact upon people who share a protected characteristic.

3. Who is responsible for undertaking a Full Equality Impact Assessment?

The lead person who drafts or reviews a policy or strategy within the commissioning service area is responsible for conducting the assessment. Assessments are always more productive if undertaken by a small team of, for example, 3 people. Involvement of, or consultation with, BCBC's Equality Officer and Consultation and Engagement Officer is critical to ensure compliance.

Team members need enough knowledge of the service to make valid judgements and have an awareness of the needs and issues faced by people with protected characteristics. It is essential that the author or the reviewer of a policy and at least one other member of the team involved has undertaken EIA Training. The team's role is to discuss and share potential equality issues relating to the planned policy, gather and analyse evidence and inform the EIA.

4. Gathering Evidence

Expert groups: Early informal consultation with people who share protected characteristics can alert you to the possible effects of a planned policy or strategy which you can take into consideration when developing a policy or practice.

Desktop research: Identify, collect and analyse relevant quantitative and qualitative data, published research or information gathered by the Council, government and other bodies such as voluntary, community and trade union organisations to help your analysis. This evidence must be referred to or referenced within the EIA.

Local research: Some service areas routinely collect community views on planned new services or changes to strategies or projects. However it is important to recognise that some individuals and communities face a range of social, economic, cultural, communication, physical and / or sensory barriers to participation. To overcome these barriers a more proactive and often creative approach is sometimes needed to encourage and support their participation. It is important to review existing methods of gathering information, including customer satisfaction surveys, parents, tenants, resident meetings etc and identify how issues affecting people who share protected characteristics can be gathered, analysed and fed back to inform the EIA. This may require some changes to traditional consultation practice, venues need to be accessible and additional support may be required if you are to engage and record the views of protected characteristic individuals and communities.

Lack of Information: Any gaps and inadequacies in data should be documented within the EIA and must include a statement setting out how and when you will gather that information. Consider the possibility of collaborative research with other departments and partners. It is important that lack of data does not lead to a lack of action in tackling inequality.

5. Using evidence to inform EIA

It is crucial to use the evidence you collect to inform your assessment. This will help demonstrate that you have met the general duty and have shown due regard to eliminating discrimination, advancing equality and fostering good relations. A large part of your analysis will involve identifying differences between groups in relation to their needs, experience and barriers they face.

You should also analyse evidence to identify potential multiple disadvantages. For example, an Asian woman could have difficulties accessing services because of factors related to both gender and her race. You may also want to compare your evidence with other similar organisations, national sources of evidence, evidence from within the Council. For example:

- the percentage of ethnic minority people using services
- the number of women employed at a senior level.

- customer satisfaction levels for different equality groups.
- The data in Analysis of Economic inequality in Wales

6. Publication of a Full EIA

Full equality Impact assessments must be published.

Full Equality Impact Assessment

Name of project, policy, function, service or	Financial Support for Care Leavers in
proposal being assessed:	University
Date assessment completed	10.08.18

At this stage you will need to re-visit your initial screening template to inform your discussions on consultation and refer to <u>guidance notes on completing a full EIA</u>

1. Consultation

		Action Points
Who do you need to consult with (which equality groups)?	No specific 'equality group' identified. Care leavers, LAC, Children Social Workers and Education consulted with.	
How will you ensure your consultation is inclusive?		

What consultation was	On line consultation.	
carried out?	Care leavers and LAC were	
Consider any consultation	directed to the consultation by	
activity already carried out,	their social workers and some	
which may not have been	were supported to completed	
specifically about equality	the consultation	
but may have information		
you can use		

Record of consultation with people from equality groups

Group or persons consulted	Date, venue and number of people	Feedback, areas of concern raised	Action Points
Example: Bridgend Deaf Club	BSL Users meeting Date and venue 25 people in attendance.	Deaf people may be unaware of new service as information not available on BSL video.	
No equity groups identified			

		1
		1
		1
		1
1		1

2. Assessment of Impact

Based on the data you have analysed, and the results of consultation or research, consider what the potential impact will be upon people with protected characteristics (negative or positive). If you do identify any adverse impact you **must**:

- a) Liaise with the Engagement Team who may seek legal advice as to whether, based on the evidence provided, an adverse impact is or is potentially discriminatory, and
- b) Identify steps to mitigate any adverse impact these actions will need to be included in your action plan.

Include any examples of how the policy helps to promote equality.

Gender	Impact or potential impact	Actions to mitigate
Identify the impact/potential impact on women and men.	No impact identified	

Disability	Impact or potential impact	Actions to mitigate
Identify the impact/potential impact on disabled people (ensure consideration of a range of impairments, e.g. physical, sensory impairments, learning disabilities, long-term illness).	No impact identified	
Race	Impact or potential impact	Actions to mitigate
Identify the impact/potential impact of the service on Black and minority ethnic (BME) people.	No impact identified	

Religion and belief	Impact or potential impact	Actions to mitigate
Identify the impact/potential		
impact of the service on people		
of different religious and faith		
groups.	No impact identified	
Sexual Orientation	Impact or potential impact	Actions to mitigate
Identify the impact/potential		
impact of the service on gay,		
lesbian and bisexual people.		
	No impact identified	
Age	Impact or potential impact	Actions to mitigate
Identify the impact/potential		
impact of the service on older		
people and younger people.		
	No impact identified	

Pregnancy & Maternity	Impact or potential impact	Actions to mitigate
	No impact identified	
Transgender	Impact or potential impact	Actions to mitigate
	No impact identified	
Marriage and Civil Partnership	Impact or potential impact No impact identified	Actions to mitigate

Under the Welsh Language Standards, EIAs must also consider:

- whether the policy would impact on people's opportunity to a) use the Welsh language in a positive or negative way and b) treat both languages equally;
- how the policy could be changed to have a positive effect or increase the positive effect on a)
 people's opportunity to use the Welsh language and b) treating both languages equally;
- how the policy could be changed to minimise or remove any adverse effects on a) people's opportunity to use the Welsh language and b) treating both languages equally.

Welsh Language	Impact or potential impact	Actions to mitigate
Identify the impact/potential impact on Bridgend County Borough Council, the Welsh Language, Welsh Culture, Welsh Language (Wales) Measure 2011 and the Welsh Language Standards.	No impact identified	

The following Section only applies where there is a potential impact (negative, positive or neutral) on children

United Nations Convention on the Rights of the Child (UNCRC)

The UNCRC is an agreement between countries which sets out the basic rights all children should have. The United Kingdom signed the agreement in 1991. The UNCRC includes 42 rights given to all children and young people under the age of 18. The 4 principles are:

- 1. Non-discrimination
- 2. Survival and development
- 3. Best interests
- 4. Participation

This section of the Full EIA contains a summary of all 42 articles and some will be more relevant than others, depending on the policy being considered however, there is no expectation that the entire convention and its relevance to the policy under review is fully understood. The Engagement Team will review the relevant data included as part of its monitoring process. The EIA process already addresses two of the principle articles which are non-discrimination and participation. This section covers "Best interests" and "Survival and development".

Some policies will have **no direct impact** on children such as a day centre for older people.

Some policies will **have a direct impact** on children where the policy refers to a childrens' service such as a new playground or a school.

Some policies will **have an indirect impact** on children such as the closure of a library or a cultural venue, major road / infrastructure projects, a new building for community use or change of use and most planning decisions outside individual home applications.

What do we mean by "best interests"?

The "Best interest" principle does not mean that any negative decision would automatically be overridden but it does require BCBC to examine how a decision has been justified and how the Council would mitigate against the impact (in the same way as any other protected group such as disabled people).

- The living wage initiative could be considered to be in the "Best interests". The initiative could potentially lift families out of poverty. Poverty can seriously limit the life chances of children.
- The closure of a library or cultural building would not be in the "Best interests" of children as it could limit their access to play, culture and heritage (Article 31.)

Please detail below the assessment / judgement of the impact of this policy on children aged 0 - 18. Where there is an impact on "Best interests" and "Survival and development", please outline mitigation and any further steps to be considered.

Impact or potential impact on children aged 0 - 18	Actions to mitigate
No impact identified	

It is essential that you now complete the action plan. Once your action plan is complete, please ensure that the actions are mainstreamed into the relevant Service Development Plan.

3. Action Plan

Action	Lead Person	Target for completion	Resources needed	Service Development plan for this action
E.g. Information about the service to be available in BSL video on the website	Service manager	End of financial year	£XXS Staff time	X Service Plan

Please outline the name of the independent person (someone other the person undertaking the EIA) countersigning this EIA below:

Please outline how and when this EIA will be monitored in future and when a review will take place:

Date: 10.08.18

Signed: Kate Giltrap

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4. Publication of your results and feedback to consultation groups

It is important that the results of this impact assessment are published in a user friendly accessible format.

It is also important that you feedback to your consultation groups with the actions that you are taking to address their concerns and to mitigate against any potential adverse impact.

Please send completed EIA form to Paul Williams, Equality Officer

Equality Impact Assessments – Frequently Asked Questions

1: What is an Equality Impact Assessment (EIA)?

An EIA is a tool used to assess new policies/services/functions or changes to existing policies/services/function.

It involves examining a proposed policy/service/function or change to see whether it has the potential to affect different sectors of society in different ways and, in particular, whether there are likely to be any adverse impacts or negative consequences of the policy, service function or proposed change for any particular sector (s) of the diverse community.

Consultation with those most likely to be affected by the policy/service/function is an essential feature of an EIA. Where a negative or adverse impact is thought likely, measures to reduce or eliminate the negative or adverse impact must be considered.

2: What are the aims of an EIA?

The main aim of an EIA is to improve the quality of service and employment policies by ensuring that we think carefully about the likely impact of our work on different communities or groups.

Your role in carrying out an EIA is to assess whether there is an adverse impact caused by your policy, service, and function or in your proposals for change on one or more sectors of the diverse community.

3: An adverse impact

An adverse impact means negative consequences for one or more communities. The term disproportionate means significant differences in patterns of representation or outcome between groups.

When adverse or disproportionate impact is found it is important to take action to minimise, reduce or counterbalance the negative impact through other measures. Adverse or disproportionate impact may indicate direct or indirect discrimination on the part of BCBC and therefore a breach of the law.

A positive action policy, function or service targeted towards a sector of the diverse community which intentionally seeks to disproportionately impact on one or more sectors of the community is justifiable where there is evidence of the need for targeted information.

Examples of adverse/disproportionate impact that could be justified:

a) Specifically targeting management training towards groups currently underrepresented in management levels of the organisation obviously has a disproportionate impact. However this is justified positive action. b) The requirement by an employer for some roles to involve shift work would have a disproportionate impact on women by inadvertently discriminating against child-carers, who are more likely to be women. However, this may be justified if it is a key requirement of the role that they are performed round-the-clock, making shift-work inevitable

4: Why do we need to carry out EIA's?

There is a legal requirement to do so. EIAs help you identify improvements to services; make better decisions; identify how you can make your services more accessible and appropriate and to check whether there is anything you can do to promote equality and reduce inequalities.

5: Who should do an EIA?

Generally, those responsible for developing a policy or managing a function or service carry out the assessment. Where a function or service is jointly run between different departments or different organisations, care must be taken to ensure that every organisation involved can publish the EIA's (as they are required to by law), even if the work is done jointly, or the assessment was carried out by only one of the parties.

6: What areas should an EIA cover?

Equality Impact Assessments must cover the nine equality strands (race/ethnicity, gender, gender reassignment, age, disability, faith/religious belief, sexual orientation, pregnancy and maternity and civil partnerships and marriage) covered by current legislation. EIAs should also consider the impact of a policy on the Welsh language and Welsh culture.

Under the Welsh Language Standards, EIAs must also consider:

- whether the policy would impact on people's opportunity to a) use the Welsh language in a positive or negative way and b) treat both languages equally;
- how the policy could be changed to have a positive effect or increase the
 positive effect on a) people's opportunity to use the Welsh language and b)
 treating both languages equally;
- how the policy could be changed to minimise or remove any adverse effects on a) people's opportunity to use the Welsh language and b) treating both languages equally.

7: What will happen if I fail to comply?

Failure to conduct EIA could leave you open to legal challenge. Please see separate guidance on recent legal cases

Additional useful information can be found on the BCBC Equalities Web Pages

Case Law

Although the Equality Act came into effect in 2010, the extensive case law that existed on the previous individual duties is directly relevant to the interpretation of the single duty. In addition, the Equality Act has been tested, with one notable and ground breaking ruling made regarding cuts made by Birmingham City Council in social care.

The following is a summary of some key legal challenges which have brought under previous requirements in respect of EIAs. They should help you understand the above guidance and how courts will consider any approach which does not answer the above questions.

Birmingham City Council and Social Services judgement

The application of the duty concerned Birmingham City Council (BCC) and its decision to restrict eligibility for adult social care to only those individuals with 'critical' needs.

This meant that the Council would no longer offer free social care to those with substantial needs. Such needs include being unable: 'to carry out the majority of personal care or domestic routines' and 'the majority of family and other social roles and responsibilities'. For those who have substantial care needs but who do not have the means to fund care themselves, withdrawal of the support the Council provided would have a significant, detrimental impact on their day-to-day activities and lives.

BCC produced several equality impact assessments which purported to show 'due regard' to the disability equality duty. However, the judge held that 'due regard' had not in fact been shown. He noted the lack of assessment of the practical impact on those individuals affected by the change in eligibility. As a result, the judge found that both the budget and the resulting cuts to adult social care were unlawful and described the impact of the proposed move to 'critical only' care on disabled people as 'potentially devastating'.

Similarly, the courts found that BCC had not had 'due regard' in another judgment concerning cuts to funding to legal advice services. The Equality Impact Needs Assessment was found to have been driven by the hopes of the benefits to be gained from the new policy rather than focusing on the assessment of the degree of disadvantage to existing users, and how their needs could be alternatively met.

Brown -v- DWP

One of the leading cases, Brown -v- Secretary of State for Work and Pensions (2008) set out some general principles. Mrs Brown was disabled and lived with her husband in Sussex. She could not stand or walk for long periods without acute pain. In late 2007, she discovered that the government was proposing to shut down a number of post offices in Sussex, including the branch in her village. Because of her disability, this would make it very difficult for her to access another post office further away.

In a legal challenge to the decision, Mrs Brown claimed that the government had failed to comply with its duties under the Disability Discrimination Act 2005, in particular its duty to pay due regard to the equality duties as it had not carried out a disability equality impact assessment of the closure proposal.

The court set out the following principles:

- Those responsible for the duty to have due regard must consciously bring it to mind when considering the duty. If they don't or if their appreciation of the duty is incomplete or mistaken, the courts will deem that due regard has not been applied.
- The due regard duty must be fulfilled before and at the time that a
 particular policy is being considered. Compliance with the duty should not
 be treated as a rear-guard action after a decision to implement the policy
 in question.
- It must be exercised with rigour and with an open mind. Due regard involves more than a tick box exercise. The "substance and reasoning" of the decision must be examined. However, a failure to make explicit reference to the relevant positive equality duty will not, of itself, be fatal to a decision.
- It is good practice for public authorities to keep an adequate record showing that they had actually considered their equality duties and pondered relevant questions.
- The due regard duty cannot be delegated to a third party by the public authority charged with it.
- The duty is on-going.
- When applying the "due regard" test, the public authority must take into account whatever countervailing factors are relevant in the circumstances.

Kaur -v- London Borough of Ealing

This case dealt with the issue of whether a race impact assessment should have been carried out before the council decided to cut funding to a voluntary organisation, Southall Black Sisters (SBS). It provided services to Asian and Afro-Caribbean women who experience domestic abuse. In 2007-2008 they were partly funded by Ealing Borough Council.

The council decided in September 2007 that it would only fund borough-wide services provided to everyone experiencing domestic violence irrespective of gender, sexual orientation, race, faith, age, or disability.

SBS said that this would have a disproportionate adverse impact on black and minority ethnic (BME) women and pointed out that the council had not done a race equality impact assessment.

The council then undertook a "draft equality impact assessment", which indicated that the impact on BME women would be monitored when the new arrangements were in place.

However, it did not carry out a full equality impact assessment. A few months later, the council confirmed its earlier decision to fund a single borough-wide service provider. The claimants, service users of SBS, successfully applied to judicially review this decision.

The court quashed the council's decision and reiterated the importance of undertaking an equality impact assessment, and also the importance of carrying out an impact assessment before formulating policy.

R (Chavda and Others) v London Borough of Harrow

In the case of R (Chavda and Others) v London Borough of Harrow, the High Court ruled that Harrow Council's decision to restrict adult care services to people with critical needs only was unlawful.

In making its ruling the High Court stated that Harrow Council had failed to carry out an equality impact assessment that gave proper and explicit consideration to disability when it introduced a policy change that had a significant impact on hundreds of disabled people.

Other cases

There are a number of other examples of successful cases that have resulted in the courts' quashing the decisions of public authorities.

These include:

- refusing to allow a Sikh girl to wear a kara through the rigid application of a school uniform policy in Watkins-Singh -v- Governing Body of Aberdare Girls High School
- refusing to license a particular model of taxi for use as a hackney cab despite disabled groups making representations that many wheelchair users could not travel safely in Lunt and another -v- Liverpool City Council
- approving planning permission for a development of chain stores and luxury flats on a site overwhelmingly occupied by BME businesses and tenants in Harris -v- London Borough of Haringey